

Employee Handbook



California Department of Transportation

“Provide a safe, sustainable, integrated and efficient transportation system for California’s economy and livability”

Employee Handbook

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Memorandum

*Flex your power!
Be energy efficient!*

To: EMPLOYEE'S NAME
Employee's Classification

Date: Month Day, Year

File:

From: SUPERVISOR'S NAME
Title
Area of responsibility

Subject: STAFF EXPECTATIONS

As a valued member of the Caltrans team, you make it possible for the Department to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with respect. Your efforts are important to each member of the team, as well as those we serve. In an effort to ensure the Department's goals and values are met, I am providing the following expectations:

1. All Caltrans employees are to be courteous and professional to all Caltrans staff, members of other agencies, and members of the public.
2. It is your responsibility to read and adhere to all Departmental policies and directives available on Staff Central at http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/. Specific policies and directives attached to this memo are:
 - a) Director's Policy 1, Equal Employment Opportunity;
 - b) Director's Policy 2, Ethics;
 - c) Director's Policy 3, Health and Safety;
 - d) Director's Policy 18, Workplace Violence Prevention;
 - e) Director's Policy 29, Communication and Entertainment Devices in the Work Zone;
 - f) Director's Policy 31, Intellectual Property Policy;
 - g) Deputy Directive 8, Drug-Free Workplace;
 - h) Deputy Directive 9, Incompatible Activities and Conflict of Interest;
 - i) Deputy Directive 22, Weapons Prohibited on Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles;
 - j) Deputy Directive 49, Sexual Harassment Prevention;
 - k) Deputy Directive 54, Information Technology Use Standards;
 - l) Deputy Directive 56, Use of Overtime;
 - m) Deputy Directive 89, Security of Portable Computing Devices and Portable Electronic Storage Media;
 - n) Deputy Directive 108, Timely Submission and Approval of Timesheets;

- o) Deputy Directive 110, Employment Outside of the California Department of Transportation;
- p) Deputy Directive 112, Contract Manager Responsibility.

Please discuss with me any questions pertaining to any policies and/or directives that you do not understand or require clarification.

- 3. Working Hours and Breaks: Your normal work hours are X:XX a.m. to X:XX p.m. [For use for WWG 2 employees: As we agreed, your lunch must be taken between ____ a.m. to ____ p.m.] Please notify me in advance of any changes to this schedule as they must be approved in advance by me, or in my absence, Alternate Supervisor, at (XXX) XXX-XXXX, to avoid potential incidences of Absence Without Leave (AWOL) which may cause your pay to be docked.
- 4. [For WWG 2 employees, Overtime should be worked in accordance with the attached Deputy Directive 56, Use of Overtime (DD-56-R2), which requires that any overtime worked must have prior approval by me.]
- 5. All non-sick leave should be approved by me, or in my absence, Alternate Supervisor, at (XXX) XXX-XXXX, at least (specified reasonable time period) in advance of the date for which you are requesting as this will allow for workload planning and increase the opportunity for approval. (SUPERVISORS: REMEMBER YOU ARE PROHIBITED FROM DENYING A LEAVE REQUEST MERELY BECAUSE AN EMPLOYEE HAS FAILED TO PROVIDE YOU ADVANCED NOTICE. LEAVE REQUESTS MUST ALWAYS BE EVALUATED ON A CASE BY CASE BASIS AND BE SUBJECT TO OPERATIONAL NEED. PLEASE CONSULT THE APPLICABLE MOU.)

Please contact me no later than X:XX a.m. when unexpected circumstances or illnesses prevent you from coming to work at the beginning of your shift and require you to request leave. (SUPERVISORS: YOU COULD SET A TIME, SUCH AS 9:00 A.M., OR ESTABLISH A WINDOW OF TIME TO CALL IN, SUCH AS WITHIN 1 HR OF THE EMPLOYEE'S START TIME – AS AN EXAMPLE) If you are unable to speak to me personally, please leave a message with a phone number where you can be reached.

If you will not be at work because either you or a family member is sick, please notify me at least thirty minutes before the start of the workday. If you are unable to speak with me personally, please follow up with a call to, Alternate Supervisor, at (XXX) XXX-XXXX.

Please note that it is your responsibility to obtain approval for your time off. Leaving a voicemail message is not considered sufficient, nor does it relieve you of your requirement to obtain approval. Emergency situations will be evaluated on a case by case basis.

Absences due to non-Family Medical Leave Act qualifying illness for you or your qualifying family member may require substantiation in writing by the treating physician or healthcare provider consistent with any applicable MOU provision. I will inform you

on a case by case basis if such substantiation is required. All substantiation should include the following:

- your name;
- the date treated by the health care provider;
- if absence is required, the full period of any required absence and the date you can return to work;
- if necessary, any specific restrictions that prevent you from performing the full range of your duties;
- the treating healthcare provider's name, telephone number, address, and signature;
- must be legible.

In the case of illness of a qualifying family member, please include the following information in the substantiation: the qualifying family member's name; the qualifying family member's relation to you (i.e., spouse, child); the date treated by the health care provider; and that your attendance was required.

Please note that obtaining a physician's substantiation is your responsibility. If substantiation has been required, the substantiation should reflect that you were unable to work for the entire period of your absence. Failure to provide substantiation to extend your absence may be considered Absence Without Leave (AWOL). You may, however, request the use of additional leave credits to be considered. When extending the date of substantiation, the new substantiation or request for additional leave credits should be provided to me within three (3) days of the previous substantiation's expiration.

In instances that you are removed from full work duty but wish to return prior to the date provided in the initial substantiation, please provide revised substantiation. The revised substantiation should specify the revised dates and be provided to me prior to, or at the beginning of, your first shift upon returning to full work duty.

If your leave request is approved but you do not have sufficient leave credits, your pay will be docked accordingly and your time will be noted as Absence Without Pay (AWOP).

6. All property owned by the State is intended to be used for work related activities. All employees are responsible to use the Department's computer resources and the internet in a professional, lawful, and ethical manner. Please refer to the attached Deputy Directive 54, Information Technology Use Standards (DD-54) for a complete description regarding computer usage.

Your signature below indicates you have read, understand, and will adhere to all of the policies identified in the Staff Expectations Memorandum and included in this binder.

SUPERVISOR'S NAME

Date

Title

EMPLOYEE'S NAME

Date

Employee's Classification

cc: Supervisory File
Official Personnel File

Director's Policy

Number: DP-01-R9
Effective Date: May 20, 2013
Supersedes: DP-01-R8 (04/02/2012)

TITLE Equal Employment Opportunity

POLICY

The California Department of Transportation (Caltrans) uses merit and excellence of qualifications as the basic principles guiding Caltrans Equal Employment Opportunity (EEO) efforts in regard to employee recruitment, hiring, retention, training, transfers, promotions and related public and private sector business activities.

Caltrans strives to maintain a diverse workforce and to provide EEO to all applicants, employees, clients, and customers, without regard to race, sex, color, religion, national or ethnic origin, genetic information, age, political affiliation, ancestry, marital status, sexual orientation, disability or medical condition. (Government Code section 12920.) Caltrans has a "Zero Tolerance" policy for discrimination and/or harassment. Retaliation against Caltrans employees, applicants, vendors, contractors, special service employees, or an employee of another state department or agency who engages in any good faith EEO action constitutes a violation of this policy.

INTENDED RESULTS

Caltrans EEO policy has been developed to ensure a work environment free from all forms of discrimination and harassment for its diverse work force. The principles of EEO are applied in all employment decisions and business practices, unless such practices would violate State or federal laws and statutes, court orders, or result in a loss of federal funds.

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Caltrans EEO program and plan are fully implemented and enforced in all programs and business activities.
- Ensures that employment recruitment, hiring, retention, training, transfers, promotions and business activities are in compliance with EEO guidelines.
- Ensures active recruitment efforts of qualified applicants are broad and inclusive of all segments of the relevant work force.
- Ensures implementation of the Caltrans Reasonable Accommodation Program.

Chief, Division of Human Resources:

- Prepares Caltrans annual EEO Plan, which includes the Workforce Analysis, Upward Mobility and Persons with Disabilities Plan.
- Provides EEO technical assistance to managers and supervisors and ensures Caltrans employees receive comprehensive EEO awareness training.

- Ensures comprehensive, neutral, and timely investigations of formal discrimination complaints and implements a uniform complaint intake process that is consistent with the Caltrans EEO Investigation Procedure Manual.
- Provides oversight for Caltrans informal and formal discrimination complaint processes.

Deputy Directors, District Directors, Chief/Deputy District Directors, Division Chiefs, Managers, and Supervisors:

- Ensure the work environment is free from discrimination and harassment by ensuring that program objectives, standards, and practices are in compliance with equal employment opportunity guidelines to the extent allowed by law.

District and Headquarters EEO Managers, Officers, and Coordinators:

- Ensure the implementation and monitoring of District programs and that business activities comply with EEO guidelines and directives.
- Monitor and ensure that the work environment is free from discrimination and harassment.

Employees, Applicants, and Business Partners:

- Ensure fellow employees, business partners, and the general public are treated with dignity and respect in a work environment that is free from discrimination and harassment.
- Immediately report violations of this policy to a supervisor, manager, or the Discrimination Complaint Investigation Unit.
- Cooperate fully in the investigation processes of a complaint.
- Participate in providing information to Caltrans and in disciplinary proceedings for violations of this policy.

APPLICABILITY

This policy applies to all Caltrans employees, applicants and business partners.


MALCOLM DOUGHERTY
Director

5/20/2013
Date Signed

Director's Policy

Number: DP-02-R2
Effective Date: December 2005
Supersedes: DP-02-R1
Dated 12-22-00

TITLE Ethics

POLICY

California Department of Transportation (Department) employees demonstrate the highest standards of personal integrity, truthfulness, and honesty; inspire public confidence and trust in State government; and recognize that personal gains from public service are limited to respect, recognition, salary, and normal employee benefits.

Ethical conduct is an organizational, as well as an individual, responsibility. Decisions are made in the best interest of the organization with the overall public interest in mind. Special care is taken to establish and maintain professional relationships with fellow employees, consultants, contractors, lobbyists, elected officials, and other internal and external partners.

INTENDED RESULTS

The intent of this policy is to ensure that sound ethical practices and policies are followed in the organization and that the organizational climate promotes ethical conduct and inhibits the opportunity for unethical conduct.

This policy is meant as an overview of ethics and acceptable ethical standards. Specific responsibilities are addressed in departmental Deputy Directives, policies, and guidelines.

RESPONSIBILITIES

Managers and Supervisors:

- Exemplify ethical standards in the workplace.
- Ensure that their subordinates are informed of and comply with departmental policies regarding ethical conduct.
- Establish an ethical climate in their work unit including controls and procedures that eliminate or reduce the opportunity for unethical conduct.
- Take prompt corrective and/or disciplinary action as the situation warrants including informal reprimand, removal from office, or termination of employment.

All Employees:

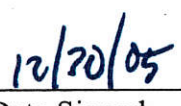
- Perform their duties and responsibilities with honesty, objectivity and integrity.
- Treat their jobs as a public trust. The authority, resources, and the decisions made are in the public's interest. Actions are not taken for personal benefit or interest.
- Make independent, objective decisions based on merit and avoid actual, potential and apparent conflicts of interest and improper influences.
- Ensure that the public has an opportunity to openly participate in important decisions and receives appropriate feedback regarding the Department's policies, programs, and activities.
- Set a positive example of public service and good citizenship by following both the letter and the spirit of all laws, rules, and policies applicable to State government.

APPLICABILITY

This policy applies to all who work for the Department in any capacity.



WILL KEMPTON
Director



Date Signed

Director's Policy

Number: DP-03-R1

Effective Date: August 2007

Supersedes: DP-03 (08-30-92)

TITLE Health and Safety

POLICY

The California Department of Transportation (Department) conducts its business, provides services, and designs, constructs, and maintains facilities in a safe manner consistent with applicable laws, rules, and policies. The Department provides a safe and healthy workplace that protects its employees and the public from harm in connection with its operations. The Department also includes provisions for the safety of those who construct and maintain California's transportation system. Transportation projects are planned and designed with the utmost concern for the safety and well-being of all who utilize them.

The Department cooperates and coordinates with all appropriate State and federal agencies to ensure that employee and public safety is a primary focus of the Department's operations and California's transportation system.

INTENDED RESULTS

The intent of this policy is to emphasize the importance of safety for the employees and the Department's obligation to protect the traveling public from unnecessary risk. Our practice is to be proactive in dealing with safety issues and establish responsibility and enforce accountability for safety.

RESPONSIBILITIES

District Directors and all Deputy Directors:

- Provide a healthy and safe working environment in compliance with the Department's Illness and Injury Prevention Program (IIPP).
- Promote the safety of the traveling public and highway workers when the Department plans, designs, constructs, operates, maintains, and rehabilitates transportation facilities.

Chief, Health and Safety Services:

- Oversees the health and safety of all Department employees through the Safety Program.
- Responsible for Health and Safety programs such as the IIPP, Workers' Compensation, Workplace Violence, Reasonable Accommodation, Wellness, and Employee Assistance.
- Serves as the Director's safety advisor on all matters related to the Department's safety.
- Maintains, analyzes, and reports health and safety related statistics to support the Department's goals and organizational performance improvements.

District Safety Officers:

- Provide guidance and direction to District managers, supervisors, and employees on health and safety issues, interpretation and implementation of California Occupational Safety and Health Administration standards, and Labor Code provisions.

Managers and Supervisors:

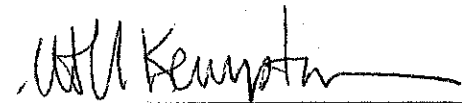
- Provide a safe and healthful environment for their employees.
- Ensure that employees conduct their duties in a safe manner in compliance with the IIPP.
- Provide training, direction, and counseling to employees on safe practices consistent with their assignment.
- In the event of on-the-job injuries or accidents, take appropriate preventative and corrective action and forward required documentation to the District (or Headquarters) Safety Office.

Employees:

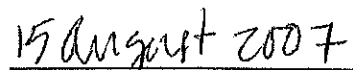
- Actively participate in the Health and Safety program by performing work safely, following all safety rules and policies, reporting and correcting any recognized safety hazards, and suggesting improvements in policies or procedures that enhance employee safety or the safety of the traveling public or highway workers.

APPLICABILITY

This policy applies to all departmental employees.



WILL KEMPTON
Director



Date Signed

Director's Policy

Number: DP-18-R1

Effective Date: 11/05/2012

Supersedes: DP-18 (05-01-1998)

TITLE Workplace Violence Prevention

POLICY

It is the California Department of Transportation (Caltrans) policy to conduct business, provide services, and protect its employees and the public from harm by providing a safe and secure work environment that has zero tolerance for acts and/or threats of violence. Regardless of an individual's actual intent, violence against another employee or member of the public will result in disciplinary action against the employee ranging from a corrective interview up to and including dismissal from State service.

DEFINITIONS

Workplace Violence- includes verbal and physical threats, harassment, intimidation, bullying, verbal abuse, or actions made by other employees, contractors, or the public that give reasonable cause to believe that the personal safety of the affected individual or others may be at risk.

Intimidation- includes behavior which has the purpose or effect of inspiring fear in a reasonable person and/or has the purpose or effect of inhibiting speech or actions by an act or threat of violence.

Bullying- an intentional act that causes harm to others, and may involve verbal harassment, verbal or non-verbal threats, intimidation, physical assault, stalking, or other methods of coercion such as manipulation, blackmail, or extortion. It is aggressive behavior that intends to hurt, threaten or frighten another person. An imbalance of power between the aggressor and the victim is often involved.

INTENDED RESULTS

The intent of the Policy is to prevent Workplace Violence incidents, describe workplace violence, and outline procedures to be followed in the event of a workplace violence complaint. Chapter 6 of the Caltrans Safety Manual, located at http://admin.dot.ca.gov/lr/HEALTHSAFETY/Safety/safetymanual_toc.shtml supplements the directions provided in this policy.

RESPONSIBILITIES

Caltrans Management:

- Managers and supervisors are responsible to enforce safety and health laws, rules and policies relating to workplace violence.
- Managers and supervisors are responsible for investigating all alleged workplace violence incidents as described in Chapter 6 of the Caltrans Safety Manual. If there is a violation of policy, they shall immediately initiate appropriate corrective action for each and every employee who instigates, contributes to, or perpetuates workplace violence.
- Managers and supervisors are responsible for recognizing and managing the warning signs that may lead to incident of workplace violence.
- Managers and supervisors are responsible for knowing and implementing Chapter 6 of the Caltrans Safety Manual.
- Managers and supervisors are responsible for training their employees on an annual basis to ensure they are aware of this policy.

All Employees:

All employees are responsible for following safe work practices, safety, and health directives, policies and procedures, and for helping to maintain a safe and secure work environment by:

- Being considerate and respectful of co-workers, visitors, the traveling public and others, and not engaging in intimidation, threats or physical actions which could reasonably be perceived as precursors to violent behavior.
- Reporting incidents of workplace violence to their supervisor as soon as possible. If there is an immediate threat or act of physical violence, notify building security and contact California Highway Patrol (CHP) immediately.
- Reporting suspicious behavior and suspicious actions by non-employees (including assaultive talking, belligerent, intimidating and threatening behavior) to their supervisor, building security personnel, or building manager as soon as possible. Threats of life or property or any criminal activity should be reported to the CHP, or local law enforcement.
- Cooperating fully in workplace violence investigations and hearings.

Headquarters and District Offices of Health and Safety:

- Log all completed workplace violence reports into the Safety Information Management System.
- Consult with managers and supervisors regarding questions about the workplace violence policy.

APPLICABILITY

All Caltrans employees.



MALCOLM DOUGHERTY
Director

11/5/2012

Date Signed

Director's Policy

Number: DP-29

Effective Date: May 2008

Supersedes: NEW

TITLE Communication and Entertainment Devices in the Work Zone

POLICY

The California Department of Transportation (Department) conducts its business, provides services, and designs, constructs, and maintains transportation infrastructure in a safe manner consistent with applicable laws, rules, and policies. The Department recognizes that unnecessary distractions in the work zone can be a risk to employee safety. Therefore, personally owned communication devices including, but not limited to, cell phones, PDAs, Blue-tooth devices, or entertainment devices shall not be used in active work zones. Employees may use a communication device for business purposes in a work zone, at a location where their safety or the safety of other workers and the traveling public will not be compromised. If an employee must leave the active work zone, he/she shall wait until it is safe or is relieved of assigned duties.

INTENDED RESULTS

This policy is to keep members of the public, our employees, and contractors as safe as possible by removing unnecessary distractions from the work environment. The use of communication or entertainment devices may distract employees resulting in potential safety hazards and can impair their ability to identify unsafe conditions.

Active Work Zone - For the purposes of this policy, Active Work Zone is defined as a designated field location in which construction, survey, and/or maintenance work is taking place.

Entertainment Device – For the purposes of this policy, entertainment devices include audio and video players.

RESPONSIBILITIES

Managers and Supervisors:

- Provide a safe and healthful environment for their employees.
- Ensure that employee communication device usage is in accordance with this policy.
- Initiate appropriate preventive action or corrective adverse action if an employee violates this directive.

Caltrans Employees:

- Recognize the risks of being distracted while working in an active work zone. While in active work zones, personal communication devices are to be kept in off mode and entertainment devices are not to be used.
- Conduct business telephone calls only after ensuring the safety of the work area, themselves, other workers, and the traveling public.
- Use personal communication devices for personal calls during breaks or lunch periods from a safe area and do not distract other workers at work.

APPLICABILITY

This policy applies to all departmental employees and other persons working for the department. For consistency, this policy shall be incorporated into all contract documents so that it is applicable to consultant and contractor's employees in active work zones.



WILL KEMPTON
Director

5-27-08

Date Signed

Director's Policy

Number: DP-31

Effective Date: June 18, 2012

Supersedes: NEW

TITLE Intellectual Property Policy

POLICY

The California Department of Transportation's (Caltrans') intellectual property consists of copyrights, service marks, and patents. Under California law, intellectual property developed by Caltrans is the sole property of the State of California (California Labor Code Section 2860 and Government Code Section 19990). Intellectual property can be developed by Caltrans' employees, consultants, and independent contractors and can only be used consistently with this policy.

Caltrans may license its intellectual property to other parties for specified purposes that do not conflict with Caltrans' operations. Licensing of intellectual property will be reviewed by management on a case by case basis to determine if it is appropriate to license the property and if compensation is required.

Caltrans employees and other parties are prohibited from acquiring and using Caltrans intellectual property for personal or commercial use. Intellectual property shall be reviewed by management and selected property will be deposited in a repository.

INTENDED RESULTS

This policy is intended to provide all Caltrans employees, consultants, independent contractors and those with approved access to the Department's intellectual property with a policy governing the ownership and use of the Department's intellectual property, and serves as the foundation for the development of further guidelines and procedures regarding this topic.

DEFINITIONS

- Copyright protection exists when a Caltrans' employee, consultant or independent contractor produces something original. Caltrans original items that have copyright protection include training manuals, plans and specifications; computer programs and applications; and architectural drawings. Copyright protection also exists for other original works, such as music, pictures, presentations and sound recordings.
- Patent law protects new-and-useful inventions that are discovered, such as machines, devices, chemical compositions and manufacturing processes.
- Service Mark means any word, name, or symbol that is used by a company or entity in commerce to identify specific services. For example, the "CT" logo is a service mark of Caltrans.

RESPONSIBILITIES

Chief Counsel, Legal Division:

- Oversees Caltrans' Intellectual Property Policy and determines if the policy complies with current laws.
- Drafts documents that secure and protect Caltrans' legal rights in intellectual property.
- Prepares and performs any necessary updates to this policy, forms, guidelines and procedures relating to the Department's use of patents, copyrights and service marks.

Deputy Director, Administration:

- Ensures the distribution and implementation of this policy to all Caltrans employees, consultants and independent contractors.
- Ensures the Department's Intellectual Property Policy, guidelines, and procedures are fully implemented and enforced in all programs and business activities.

Managers and Supervisors:

- Ensure that their employees review the Intellectual Property Policy and any related guidelines and procedures.
- Ensure that they sign the [Intellectual Property Policy Acknowledgement Form](#) (indicating that the employees acknowledged that they received the Policy).
- Identify inventions, new formulas or methods to produce items that could be protected by copyright, patents or service marks that Caltrans could consider for future use.
- Initiate corrective and/or disciplinary action if any employee, consultant or independent contractor fails to comply with this policy or its related guidelines and procedures.
- If questions arise regarding the protection of Department intellectual property, immediately submit the questions to Headquarters Legal Division for review.

Employees:

- Review and comply with this policy, and related guidelines and procedures.
- Notify their supervisor of any work they are performing that may result in the creation of intellectual property. This notice should include any intellectual property discovered when working with an outside consultants and independent contractors.
- Assist Caltrans by protecting its rights to the intellectual property
- Immediately report the misuse of any Caltrans intellectual property to the Headquarters Legal Division.
- Participate fully with any investigations, hearings or legal proceedings related to the misuse of Caltrans intellectual property.

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Number DP-31
Intellectual Property
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APPLICABILITY

This policy applies to all departmental employees, consultants and independent contractors who use or develop the Department's intellectual property.

Original Signed By:

June 18, 2012

MALCOLM DOUGHERTY
Director

Date Signed

Deputy Directive

<i>Number:</i>	DD-08-R5
<i>Refer to Director's Policy:</i>	DP-03-R1 Safety & Health DP-11 Caltrans Workforce
<i>Effective Date:</i>	8/4/14
<i>Supersedes:</i>	DD-08-R4 (12/31/2013)
<i>Responsible Program:</i>	Administration

<i>TITLE</i>	Drug Free Workplace
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POLICY

The California Department of Transportation (Caltrans) is committed to a safe, productive, drug-free and alcohol-free work environment to foster the well-being and health of its employees and to protect the traveling public from harm in connection with its operations. Employees and those who work for Caltrans in any capacity are prohibited from unlawfully manufacturing, distributing, dispensing, possessing, using or consuming alcohol or illicit drugs in the workplace, or being impaired by alcohol or an illicit drug in the workplace. Any employee cited or arrested for a drug or alcohol related statute violation that occurred in the workplace, during work hours, or while operating a State vehicle shall immediately report the incident to his or her supervisor. Violation of this policy will result in appropriate disciplinary action, up to and including termination from employment, including incidents not immediately reported.

It is Caltrans policy that employees are prohibited from reporting for or returning to duty when impaired from the effects of prescription medications, illicit drugs, including medical marijuana, and alcohol. Employees serving in "safety sensitive" positions are subject to drug and/or alcohol testing according to federal and state laws and regulations and applicable Bargaining Unit Memorandum of Understanding provisions. Violation of this policy will result in appropriate disciplinary action, up to and including termination from employment.

Caltrans assists employees who have drug or alcohol dependency problems to recover from their addiction provided the employee voluntarily seek and accept this assistance before corrective action is taken.

DEFINITION/BACKGROUND

The intent of this Deputy Directive is to provide a working policy for Governor's Executive Order D-58-86 concerning substance abuse and mandatory drug and alcohol testing for "safety-sensitive" positions. This Deputy Directive does not replace other Caltrans provisions, including fitness for duty examinations, employee assistance programs, or the adverse action process. Caltrans employees are subject to the requirements of the Federal Drug-Free Workplace Act of 1988 and California Drug-Free Workplace Act of 1990. Federal regulations established in 49 Code of Federal Regulations, Parts 40 and 382, and State regulations in title 2, California Code of Regulations, Section 599.960 *et seq.*, contain the complete definitions of the following: safety-sensitive positions, reasonable suspicion for substance abuse testing, employee rights and confidentiality of records.

Employees are all persons who work for Caltrans including civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, special employment, and contract employees

RESPONSIBILITIES

Managers and Supervisors:

- Create and maintain a drug-free workplace through proactive measures and by personal example.
- Take appropriate corrective actions with subordinate managers and supervisors who fail to perform their responsibilities as outlined in this Directive. Discuss with subordinate staff any behavior or job performance factors.
- When appropriate, suggest that employees seek substance abuse evaluations and assistance through the Employee Assistance Program (EAP) or the Caltrans Substance Abuse Information Network (SAIN); make management referrals to EAP.
- Order employees in designated "safety-sensitive" positions to mandatory random, return to work, reasonable suspicion, follow-up, or post-accident drug and/or alcohol tests according to federal and state laws and regulations, and procedures established by the Office of Driver Certification and Substance Testing, Division of Safety and Management Services.
- Attend reasonable suspicion training, as required, when supervising "safety-sensitive" employees.
- Maintain confidentiality of all testing information and results.

Chief, Office of Driver Certification and Substance Testing:

- Ensure the statewide implementation of federal and state regulations for mandatory drug and alcohol testing of employees in "safety-sensitive" positions.

- Take appropriate disciplinary action against any employee who fails or refuses a required drug and/or alcohol test.
- Advise and assist managers and supervisors in determining the appropriate course(s) of action when an employee in a "safety-sensitive" position is suspected of being under the influence of drugs and/or alcohol.
- Inform employees subject to federal and state drug and alcohol testing of the regulations, rules and policies applicable to them, as well as their rights and responsibilities under the testing program.
- Establishes procedures for mandatory, random, return-to-work, reasonable suspicion, follow-up or post-accident drug and alcohol testing.

Employee Assistance Program Coordinators:

- Provide employees and all levels of management education about EAP procedures, services available, and how to access services.
- Maintain confidentiality of all EAP information for Caltrans.

Employees:

- Refrain from consuming intoxicants during work shift, including medical marijuana.
- Report for and return to duty free of drug and alcohol impairments.
- Refrain from possessing, distributing, selling, offering for sale or trading any illicit drugs in the workplace.
- Report to their supervisor any citations or arrests for a drug or alcohol related violation that occurred in the workplace, during work hours, or while operating a state vehicle immediately to their supervisor.
- Are prohibited from operating state vehicles when not completely recovered from the effects of alcohol or drug use.
- When performing "safety-sensitive" functions or utilizing a commercial driver license, report the use of any prescribed and/or over-the-counter medication(s) that impair job performance to your supervisor immediately.
- When performing "safety-sensitive" functions, submit to mandatory post-accident, random, return to work, reasonable suspicion or follow-up drug and/or alcohol testing according to federal and state laws and regulations, and procedures established by the Office of Driver Certification and Substance Testing.

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014

Date Signed

Deputy Directive

Number:	DD-09-R5
Refer to Director's Policy:	DP-02-R2 Ethics DD-110-R1 Employment Outside of Caltrans
Effective Date:	8/4/14
Supersedes:	DD-09-R4 (April 2014)
Responsible Program:	Administration

TITLE Incompatible Activities and Conflict of Interest

POLICY

California Department of Transportation (Caltrans) employees shall not willfully engage in any employment, activity or enterprise that is illegal; that is, or gives the appearance of being, incompatible with their duties as state employees; that discredits their profession, department or the state; or that has an adverse effect on the confidence of the public in the integrity of government.

Incompatible Activities. The following activities are incompatible with or unfavorable to public service insofar as all employees of Caltrans are concerned:

- Drinking alcohol or using illegal drugs while on duty.
- Reporting to work when not completely recovered from the effects of alcohol or drug use.
- Using or attempting to use for private gain or advantage, or the private gain or advantage of another the identification badge, equipment, uniform, prestige, or influence of a state position.
- Directly or indirectly soliciting from persons money, gifts, or other valuable consideration in addition to the salary paid by the state, for advertising or furnishing information concerning matters administered by Caltrans, or for services performed which he/she is or may be required to render as part of his/her official duty.
- Acceptance of anything of value that would not be offered if not an employee of Caltrans.
- Using for private gain or advantage, or the private gain or advantage of another, the time, facilities, postage or supplies of the state.

- Using official knowledge for personal gain, or the private gain or advantage of another.
- Divulging information, data, or intelligence from departmental reports, records, correspondence, or manuals when the release of such has not been authorized.
- Having a financial interest in, entering into any partnership, soliciting business of any kind from, or purchasing any property at a special discount from any person subject to regulation, inspection, licensing, certification, accreditation, supervision, or audit by Caltrans when official duties of the employee involve such functions.
- Any employee, while on duty, shall not participate in political activities relative to the election or appointment of public officials.
- Employees are prohibited from purchasing supplies or services for the state from a business entity in which they have a direct financial interest, or knowingly from a business entity in which another departmental employee has a direct financial interest.
- Employees are prohibited from accepting free consulting or other services from a vendor which has an understood intent to bid on a future related contract.

This directive does not specify every possible limitation on activities of Caltrans employees that might be determined and proscribed under statutory or regulatory authority. References within the Deputy Directive are to: California Public Contract Code, Division 2, section 10410; California Government Code, Title 2, Division 5, section 19990; California Government Code, Title 9; and California Code of Regulations, Title 2, Division 6, section 18700. Violation of this policy may subject an employee to disciplinary action ranging from formal written reprimand up to dismissal.

DEFINITION

Conflict of Interest is a situation in which any official action taken by an employee is, may be, or appears to be, influenced by considerations of personal, financial, or other gain, rather than the general public good.

Incompatible Activities include, but are not limited to, various aspects of personal, political, and business associations; relationships, involvement, and interests; use of state time, equipment, materials and confidential information for private gain; and real estate investment, and financial interests which Caltrans has designated as being inconsistent with the duties and responsibilities of employees.

Employees are all persons who work for Caltrans including civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, special employment, and contract employees.

BACKGROUND

The intent of this policy is to ensure that an employee's activities do not adversely affect the employee's responsibilities with Caltrans, are compliant with applicable laws, policies and regulations, and do not create, or give the appearance of creating, a conflict of interest.

RESPONSIBILITIES

Deputy Directors, District Directors, Assistant Directors and Division Chiefs:

- Ensure that employees are informed of and apply departmental policy, federal and state laws and regulations regarding incompatible activities and conflicts of interest in their daily activities.
- Ensure that those conditions or barriers which may create or result in an incompatible activity are eliminated or mitigated.

Deputy Director, Administration:

- Develops statewide Incompatible Activities and Conflict of Interest policy and makes every effort to ensure broad compliance.

Chief, Office of Enterprise Risk Management:

- Ensures that the Incompatible Activities and Conflict of Interest policy is updated.
- Ensures timely review of all questions regarding potential incompatible activities.

Managers and Supervisors:

- Ensure that their subordinates are informed of, and comply with, departmental policy and federal and state laws and regulations regarding incompatible activities.
- If questions arise regarding a potential incompatible activity or conflict of interest that cannot be answered by division or district management, submit the question(s) to the Office of Enterprise Risk Management.
- Initiate prompt investigatory, corrective and/or disciplinary actions for violations of the policy.

Employees:

- Perform their duties and responsibilities honestly, objectively, and free from incompatible activities and/or conflicts of interest.
- Treat their job as a public trust, and make sure the authority, resources, and decisions they make are in the public's best interest.

- Comply with applicable Codes of Ethics and Conduct that govern the professional licensure, certification, or membership in a professional association.
- Immediately inform their supervisor of any offer, gift, favor or compensation through which the person making the offer has expressed or implied the intent to influence a favorable action by Caltrans. This applies even if the offer, gift, favor or compensation was refused.
- Comply truthfully and knowledgeably with Caltrans policies, federal and state laws and regulations when making decisions and completing documents.

Employees are prohibited from performing activities such as:

- Divulging information, data, or intelligence from departmental reports, records, correspondence, or manuals when the release of such has not been authorized.
- Altering, falsifying, or intentionally omitting significant portions of information, records, measurements or calculations required for the performance of one's duties.
- Using the prestige or influence of Caltrans for private gain or advantage or the private gain of another.
- Using state time, personnel, facilities, equipment or supplies for private gain or advantage.
- Using confidential information available by virtue of state employment for private gain or advantage.
- Providing confidential information to persons to whom issuance of this information has not been authorized.
- Engaging in any act knowing that the act may later be subject (directly or indirectly) to the control, inspection, review, audit or enforcement by the employee.
- Engaging in outside employment involving state and local agency projects which at any time are subject to review, control, input, influence, audit, or approval by the employee.
- Receiving or accepting money or any other item of value (including but not limited to entertainment, lodging, travel expenses, services or other items) from anyone other than the state for the performance of his or her job duties as a Caltrans employee.
- Soliciting, accepting, receiving, or forwarding any item of value from anyone who is doing, or seeking to do, business of any kind with Caltrans in which acceptance may result in or give the appearance of:
 - Compensation for duties performed as a state employee.
 - Giving preferential treatment to any person or entity.
 - Loss of independence, impartiality, or professional judgment.
 - Making a governmental decision outside of official channels.

- Engaging in any type of gambling activity in the workplace or using state resources to do so, including activities such as raffles or lotteries, even if for charitable purposes.
- Failing to devote their full time, attention, and efforts to their departmental employment during their hours of duty as a Caltrans employee.
- Using state postage or stamping facilities other than for official business.
- Engaging in any activity conducted in such a manner that it appears to reflect an official position of the state or Caltrans without prior authority to do so.
- Attempting to circumvent this policy by using a friend, relative, dependent, outside employer, or any other alter ego in order to accomplish indirectly that which this policy prohibits.

APPEAL PROCEDURES

A represented employee may file a grievance/complaint based on a decision made by their supervisor concerning the application of this policy in accordance with the applicable Memorandum of Understanding. An excluded employee may file a complaint concerning the application of this policy with the Division of Safety and Management Services. (Government Code section 19990(g).)

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014

Date Signed

Deputy Directive

Number: DD-19-R2

*Refer to
Director's Policy:* DP-02 Ethics
DP-10 Departmental
Commitments

Effective Date: June 2005

Supersedes: DD-19-R1 (06-05-00)

TITLE Media Relations/Public Information

POLICY

The California Department of Transportation (Department) attempts to have a good relationship with the media which, in turn, will lead to greater and more positive coverage of what we do.

All Department employees are encouraged to look for opportunities to promote achievements. There are countless good news stories that could be shared with viewers, listeners and readers. Also, employees should look for opportunities to correct inaccuracies. If we are to gain the goodwill, confidence and support of the public we serve, we need to engage with the media and take every opportunity to be more proactive in communicating with the public.

Like any large organization, the Department has a process in place for interacting with the media. Interaction with the media is always deferred first to Department Public Information Officers (PIOs) and handled by them in accordance with journalistic principles, the California Public Records Act, and Department policies.

Employees may speak to the media, on a case-by-case basis, when given delegated authority to do so by the Deputy Director of External Affairs, District Director or District Chief PIO. Employees who are delegated authority to speak with the media should ask that a PIO accompany them.

The Department's policy is to be open and honest in dealing with the media and respond to their inquiries within their deadlines, as far as possible. The Department has a duty to let the media know about issues that should be in the public domain. We will inform the media about issues which:

- Are in the public interest;
- help to show the public how the Department goes about its work; and
- build public confidence in the Department.

DEFINITION/BACKGROUND

Public Information Officers are employees who have delegated authority to speak directly to media representatives. The Deputy Director of External Affairs, District Directors and District Chief PIOs designate these employees.

Mass public distribution includes any internally developed information for use outside of the Department, regardless of the distribution method.

Headquarters External Affairs provides information about statewide and policy concerns, while District Public Information Offices answer questions related to local and/or internal district operations.

Headquarters External Affairs or District Public Information Offices review and approve all media materials intended for mass public distribution to ensure organizational consistency and coordination. Materials subject to review and approval include newsletters, brochures, pamphlets, video scripts, press releases, and fact sheets.

Employees who are contacted by the media, or wish to correct media inaccuracies or promote good news stories must first be cleared by the Deputy Director of External Affairs, District Director, or Chief PIO.

RESPONSIBILITIES

Employees:

- Refer media inquiries to Headquarters External Affairs Office and/or District Public Information Office.
- May be called upon to respond to media inquiries or participate in media interviews when given delegated authority, on a case-by-case basis, by either Headquarters External Affairs Office, District Director and/or District Public Information Office.
- May respond in writing to correct media inaccuracies or promote good news stories, but the information must first gain clearance from either Headquarters External Affairs, District Director, or Chief PIO.
- Treat the job as a public trust and refrain from expressing their personal opinions or feelings while conducting business for the Department.

Deputy Director of External Affairs:

- Sets the Department's overall public affairs policy, including direction and oversight of the Districts' public information operations.
- Acts as the chief spokesperson, or delegates, for the Department.
- Approves Headquarters and District public information programs.
- Develops media training program.

District Directors:

- Conduct media interviews or delegate to District Chief PIO, or other staff as needed. The Deputy Director of External Affairs must be notified of such interviews that day, and sensitive issues should be discussed beforehand.

Deputy Directors, District Directors, Division Chiefs, Managers and Supervisors:

- Ensure subordinates are informed of and comply with this policy.
- Require that External Affairs be notified of all public events planned in their respective areas that may attract media attention.

District Chief Public Information Officers:

- Act as chief spokesperson for their respective district areas.
- Obtain departmental standing on sensitive issues and carry out the appropriate distribution of such information to other Headquarters/District Public Information Officers.
- Provide Department employees with clearance/denial to give interviews, on a case-by-case basis, as official Department representatives.
- Develop and coordinate their public information program, including training District staff.

APPLICABILITY

All Department employees.



RANDELL H. IWASAKI
Chief Deputy Director

June 20, 2005
Date

Deputy Directive

Number: DD-22-R2

Refer to
Director's Policy: DP-03
Health and Safety

Effective Date: 11/24/2009

Supersedes: DD-22 (06-03-94)

TITLE Weapons Prohibited in Caltrans Buildings, on Caltrans Property and in Caltrans Vehicles

POLICY

The California Department of Transportation (Caltrans) provides a safe and secure workplace that protects the employees and the public from harm in connection with its operations.

It is illegal and a criminal violation to possess weapons in public buildings (California Penal Code Section 171(b)).

This directive further bans possession of ammunition or prohibited weapons in a Caltrans owned or leased buildings, residential property and vehicles.

DEFINITION/BACKGROUND

Weapons, especially easily concealable ones, can pose significant security and safety risks for our employees and the public. This policy is based on the State law prohibiting specified weapons in public buildings (California Penal Code Section 171b).

The only exceptions to this basic policy are: (1) the allowance of weapons in residential space owned and operated by Caltrans; and, (2) the allowance of normally prohibited weapons that have been specifically permitted in Caltrans' public buildings, property and vehicles.

Caltrans building is as any building owned and occupied or leased and occupied by Caltrans. When Caltrans and others jointly occupy the building, this policy applies only to those parts under the control of Caltrans.

Residential property is any private living area and excludes common areas; i.e., lobbies, lounges, and rest rooms that are a structural part of a building such as a dormitory.

Vehicles are any motor vehicles, whether owned or leased, as defined in the California Vehicle Code, Section 415.

Ammunition the projectiles detonated from any weapon, such as bullets or shells.

RESPONSIBILITIES

Information Security Officer:

- Acts as the Director's delegated designee in granting "permission" for employees to have otherwise prohibited weapons, as allowed in California Penal Code Section 171 (b) (3).

Chief, Office of Business Services & Security

- Conducts investigations, when requested, into alleged violations of this policy by employees.

Managers and Supervisors:

- Ensure that employees are informed of and comply with this policy.
- Have matters investigated and, if appropriate, initiate and take disciplinary measures when violations of policy are observed or reported.

Employees:

- Are aware of and comply with this policy.
- Are encouraged to inform others (visitors and public) of this policy.

APPLICABILITY

All departmental employees.

Cindy Mckim
CINDY MCKIM,
Chief Deputy Director

11/24/2009
Date Signed

Deputy Directive

Number: DD-49-R4

Refer to
Director's Policy: DP-01-R9
Equal Employment
Opportunity

Effective Date: 7/23/2013

Supersedes: DD-49-R3 (5/24/10)

TITLE Sexual Harassment Prevention

POLICY

The California Department of Transportation (Caltrans) makes every effort to provide employees with a workplace that is free from sexual harassment and has a "Zero Tolerance" policy. Caltrans encourages all employees to prevent, identify, and report inappropriate conduct. Caltrans regularly provides Sexual Harassment Prevention training for employees at all levels; takes reasonable steps to prevent sexual harassment; promptly investigates allegations of inappropriate conduct; and takes effective, appropriate, and timely corrective actions. Caltrans employees are to refrain from conduct that can reasonably be interpreted as sexual harassment.

DEFINITION/BACKGROUND

Federal and State laws prohibit sexual harassment in the workplace; Title VII of the Civil Rights Act of 1964 as amended; United States Equal Employment Opportunity Commission regulation (29 Code of Federal Regulations, Part 1604.11); California Government Code Sections 12940 and 19702 (a); and State Personnel Board Policy statement dated October 20, 1988. Corrective action is taken pursuant to California Government Code Section 19572 (w).

Sexual harassment is any unwelcome sexual conduct such as sexual advances, requests for sexual favors, and other verbal, visual, written or physical conduct of a sexual nature that explicitly or implicitly affect an individual's employment; unreasonably interferes with an individual's work performance; or creates an intimidating, hostile, or offensive work environment.

Employees are all persons who work for Caltrans including: civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, special employment, personal services contract employees, and student assistants.

RESPONSIBILITIES

Deputy Director, Administration:

- Ensures the Equal Employment Opportunity Program (EEOP) and EEOP Plan are fully implemented and enforced in all Caltrans programs and business activities.
- Ensures employment recruitment, hiring, retention, training, transfers, promotions, and business activities are in compliance with Equal Employment Opportunity (EEO) laws.

Chief, Division of Human Resources:

- Promotes a work environment that is free of sexual harassment, coordinates sexual harassment prevention training, and monitors implementation of appropriate corrective actions whenever sexual harassment is identified.
- Manages the EEOP and serves as the resource for sexual harassment prevention and related training needs assessment.
- Provides oversight for Caltrans's informal and formal discrimination complaint processes, as established by the discrimination complaint procedures and as contained in the EEOP Plan.
- Ensures comprehensive, neutral, and timely investigation of formal sexual harassment complaints and provides a thorough, impartial, uniform and confidential intake process, as established by the EEO Investigation Procedures Manual.

Deputy Directors, District Directors, Division Chiefs, and Deputy District Directors:

- Promote a work environment free of sexual harassment, coordinate sexual harassment prevention training and implements appropriate corrective actions whenever sexual harassment is identified.
- Ensure all employees receive sexual harassment prevention training and managers and supervisors provide a workplace environment free of sexual harassment.
- Ensure managers and supervisors are trained every two years and practice sexual harassment prevention and corrective procedures.

Managers and Supervisors:

- Provide a workplace environment free of sexual harassment through sexual harassment prevention and training.
- Take immediate and appropriate corrective action when a violation of this sexual harassment policy occurs.
- Forward complaints to District and/or the Headquarters EEOP officers in a confidential and timely manner.
- Ensure employees receive regular training in sexual harassment prevention.

Headquarters and District EEOP Staff:


- Serve as the local staff resource for managers, supervisors, employees, and investigators regarding EEO and sexual harassment issues.
- Serve as a point of contact for employees to initiate the complaint process.
- Ensure the implementation of programs and business activities by monitoring compliance with EEOP guidelines.

Employees and Business Partners:

- Comply with this directive.
- Immediately report sexual harassment incidents to management and/or the EEOP officer.
- Ensure fellow employees, business partners, and the general public is treated with dignity and respect in a work environment free from sexual harassment.
- Immediately seek assistance from management and/or the EEOP Officer when experiencing sexual harassment in the workplace.
- Cooperate fully in all investigations regarding sexual harassment issues.

APPLICABILITY

All Caltrans employees.



NORMA ORTEGA
Acting Chief Deputy Director



Date Signed

DEPUTY DIRECTIVE

Number: 54R

Refer to
Director's Policy: 17R, Information
Technology

Effective Date: April 30, 2001

Supersedes: DD-54

TITLE Information Technology Use Standards

POLICY

All access to and use of the California Department of Transportation's (Caltrans) Information Technology (IT) network, Internet, and Intranet connections will be governed by the Caltrans Computer Network and Internet Access Guidelines as published by Headquarters Information Technology (HQ-IT).

DEFINITION/ BACKGROUND

Caltrans HQ-IT has established connections to the Internet via the services of the Caltrans HQ-IT Wide Area Network. This access allows Caltrans users to connect to all the services of the Internet from the browser client installed on their assigned workstation. Additionally, Caltrans HQ-IT has installed and maintains internal web services that are available only to its internal network users. The effectiveness of the departmental computing environment and shared information resources depends on the responsible behavior of all authorized users, managers, and administrators of these resources.

RESPONSIBILITIES

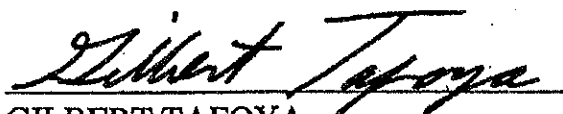
The Director of Caltrans and the Chief Information Officer (CIO) are responsible for the development of appropriate use guidelines for IT.

Deputy Directors, District Directors, Division Chiefs (including Program Manager), Office Chiefs, all District, Program and Traffic Management Center managers and supervisors will direct their staff to observe and adhere to the attached guidelines.

All Caltrans employees, contractors, and vendors have a responsibility to understand and follow the acceptable usage guidelines and seek guidance in areas for which policy and procedural clarification is needed.

APPLICABILITY

This Directive will apply to all users of Caltrans computers, network systems and/or Internet/Intranet services regardless of their physical location or the entity to which they are assigned.



GILBERT TAFOYA
Acting Chief Information Officer



Date Signed

Department of Transportation Computer Network and Internet Access Guidelines

(Attachment to DD-54R)

Disclaimer

The Internet is a worldwide network of computers that contains millions of pages of information. Users are cautioned that many of these pages include offensive, sexually explicit, and inappropriate material. In general, it is difficult to avoid at least some contact with this material while using the Internet. Even innocuous search requests may lead to sites with highly offensive content. Additionally, having an e-mail address on the Internet may lead to receipt of unsolicited e-mail containing offensive content. Users accessing the Internet do so at their own risk and the Department of Transportation (Department) is not responsible for material viewed or downloaded by users from the Internet. To minimize these risks, users of the Internet at Caltrans are governed by the following guidelines:

Permitted Use of the Internet and The Department Computer Network

The computer network is the property of the Department and is to be used for legitimate business purposes consistent with Bargaining Unit Memoranda of Understanding (MOUs). Users are provided access to the computer network to assist them in the performance of their jobs. Additionally, users may also be provided with access to the Internet through the computer network. All users have a responsibility to use The Department computer resources and the Internet in a professional, lawful and ethical manner. Abuse of the computer network or the Internet may result in disciplinary action, including possible termination, and civil and/or criminal liability.

Computer Network Use Limitations

Prohibited Activities. Without prior written permission from the Department's Chief Information Officer (CIO) or his/her designee, the Department computer network may not be used to disseminate, view, or store personal advertisements, solicitations, promotions, destructive code (e.g., viruses, trojan horse programs, etc.) or any other unauthorized materials.

Illegal Copying. Users may not copy material protected under copyright law or make that material available to others for copying. Users are responsible for complying with copyright law and applicable licenses that may apply to software, files, graphics, documents, messages, and other material that can be downloaded or copied. Users may not agree to a license or download any material for which a fee is charged without first obtaining the express written permission of their manager.

Communication of Trade Secrets. Unless expressly authorized by the Users' Branch Chief or their designee, users are prohibited from sending, transmitting, or otherwise distributing proprietary information, data, trade secrets or other confidential information belonging to The Department, its vendors or contractors. Unauthorized dissemination of such material may result in severe disciplinary action, as well as substantial civil and criminal penalties under state and federal Economic Espionage laws.

Duty Not to Waste or Damage Computer Resources

Accessing the Internet. To ensure security and avoid the spread of viruses, users accessing the Internet through a computer attached to Caltrans network must do so through an approved Internet firewall or other security device. Bypassing Caltrans computer network security by accessing the Internet directly via modem or other means is strictly prohibited unless the computer you are using is not connected to the Caltrans network.

Frivolous Use. Computer resources are not unlimited. Network bandwidth and storage capacity has finite limits, and all users connected to the network have a responsibility to conserve these resources. As such, the user must not deliberately perform acts that waste computer resources or unfairly monopolize resources to the exclusion of others. These acts include, but are not limited to, sending mass mailings or chain letters, spending excessive amounts of time on the Internet, playing games, engaging in online chat groups, uploading or downloading large files, accessing streaming audio and/or video files, or otherwise creating unnecessary loads on network traffic associated with non-business-related uses of the Internet.

Virus detection. Files obtained from sources outside Caltrans, including disks brought from home, files downloaded from the Internet, newsgroups, bulletin boards, or other online services; files attached to e-mail, and files provided by customers or vendors, may contain dangerous computer viruses that may damage the Caltrans computer network. Users should never download files from the Internet, accept e-mail attachments from outsiders, or use disks from non-Caltrans sources, without first scanning the material with Caltrans-approved virus checking software. If you suspect that a virus has been introduced into the Caltrans network, notify Information Technology Programs' desktop support immediately.

No Expectation of Privacy. Employees are provided computers and Internet access to assist them in the performance of their jobs. With the exception of certain privileges relating to confidentiality ("Privilege Exception"), employees should have no expectation of privacy in anything they create, store, send or receive using Department equipment. The computer network is the property of the Department and may be used only for Department purposes. The Department reserves the right to access and review all materials created, stored, sent or received by the user through any Departmental computer, network or Internet connection. The Department also reserves the right to monitor and log any and all aspects of its computer system including, but not limited to,

monitoring Internet sites visited by users, monitoring chat and newsgroups, monitoring file downloads, and all communications sent and received by users. Finally, the Department reserves the right to utilize software that makes it possible to identify and block access to Internet sites containing sexually explicit or other material deemed inappropriate in the workplace.

Privilege Exception. The foregoing would not apply to confidential communications protected by certain recognized privileges (e.g., attorney/client privilege) and which are created for legitimate state business purposes.

Notice to Users

Users will be informed of their responsibility to comply with the policies governing use of the Caltrans computer network via warning banners that have been placed ubiquitously on all network connection devices. These warnings will inform all users that their access to the network is subject to monitoring and that connection to, and use of, the system implies consent to monitoring and agreement to abide by the rules posted on the Information Security and Operational Recovery web site and published in the Information Security Manual.

Deputy Directive

Number: DD-56-R3

Refer to
Director's Policy: DP-02
Ethics

Effective Date: 6/25/2013

Supersedes: DD-56-R2 (12-19-11)

TITLE Use of Overtime

POLICY

The California Department of Transportation (Caltrans) will consider the use of overtime when necessary and appropriate to accomplish planned and emergency work. All Caltrans managers and first line supervisors are responsible for the effective management and careful use of this method of compensation consistent with existing laws, rules, and Memorandums of Understanding (MOUs). Employees must obtain authorization in advance before overtime hours are worked, except in an emergency. Proper documentation is required in *all* situations where overtime is utilized, including emergencies.

DEFINITION/BACKGROUND

Government Code section 19851, subdivision (a), provides that it is the policy of the State to avoid the necessity for overtime work by its employees whenever possible.

Overtime is defined as authorized time in excess of the regularly scheduled work week per Section 599.700 of the California Code of Regulations.

Per the California Code of Regulations section 599.702 and the State Administrative Manual (SAM) Chapter 8540, all agencies must maintain complete and accurate records of all compensable overtime worked by its employees, even in cases of emergencies.

Emergency exceptions include situations where overtime is utilized to:

- Provide mandatory coverage or required public services.
- Provide work to prevent unsafe conditions for the public or employees, to manage and reduce the economic impact to an area, or reduce damage to public or private property.

Overtime Documentation is specific evidence demonstrating pre-approval of overtime, overtime hours worked, reason for overtime, and product produced as a result of overtime. Examples of acceptable documentation to support overtime include: time sheets supported by sign in/out logs, weekly attendance logs, overtime logs, daily diaries, or contractor's work hours and must contain the required elements cited above. All designated supervisors approving time worked must comply with all of Caltrans guidelines for the recording of time worked directed in Deputy Directive 108, Timely Submission and Approval of Timesheets.

A link to these guidelines may be found at:
http://admin.dot.ca.gov/bfams/admin_svcs/sw_policy/dd/dd_108.pdf

Payment of overtime must adhere to the requirements of the Fair Labor Standards Act (FLSA), MOU for represented employees, and/or the California Department of Human Resources (CalHR) policies for non-represented employees. If the provisions of the FLSA are in conflict with the provisions of an MOU or CalHR policies, the FLSA provisions shall be controlling unless the MOU or CalHR policies provide a greater benefit to the employee.

RESPONSIBILITIES

Chief Deputy Director:

- Establishes the statewide policy on the use of overtime.

Deputy Director, Administration:

- Monitors timely delegation of and authorization of overtime.
- Ensures that the approval to use overtime is not subdelegated below the first-line supervisor.
- Encourages managers and supervisors to carefully evaluate the use of overtime when workload and work conditions warrant.
- Ensures that all managers and supervisors are aware of this policy and Caltrans guidelines on the use of overtime.

Chief, Office of Labor Relations, Safety and Staff Development:

- Advises managers of the requirements of the State and federal laws, regulations, MOUs and Caltrans policy regarding the use of overtime.

Managers and Supervisors:

- Carefully evaluate and consider the use of overtime, when appropriate for planned work or in cases of emergency.
- Ensure that overtime is preauthorized and documented prior to any overtime work hours being accrued by their employees, except in cases of emergency.
- Ensure that documentation communicates the reason for overtime worked and is retained for five years.

- Ensure that overtime hours claimed were actually worked.
- Monitor that employees working overtime hours do not exceed the maximum cap amount of overtime.
- Ensure that authorization of overtime does not exceed the specific hour limitations.
- Complete the proper preauthorization documentation for any overtime that will exceed the specific fiscal overtime hour limitations established by the FLSA, MOUs, and CalHR policies.
- Review all of the overtime documentation procedures and time keeping requirements with employees prior to granting preauthorization.
- Report any misuse of overtime and be willing to support any legal efforts that may occur as a result of an investigation in to the alleged misuse of overtime.

All Caltrans Employees:

- Must comply with all policies, guidelines and procedures related to the proper use of overtime.
- Must seek preauthorization from their designated supervisor *before* any hours in excess of their established time-base are worked.
- Submit an accurate recording of any authorized overtime worked according to Caltrans time-reporting guidelines.
- Must be willing to comply with any investigation of misuse of overtime.

APPLICABILITY

All Caltrans employees, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, and civil service student assistants paid through the State Controller's Office payroll system.



NORMA ORTEGA
Acting Chief Deputy Director

6/25/2013
Date Signed

Deputy Directive

Number: DD-89

Refer to
Director's Policy: DP-17-R1
Information Technology

Effective Date: June 2006

Supersedes: NEW

TITLE Security of Portable Computing Devices and Portable Electronic Storage Media

POLICY

The California Department of Transportation (Department) requires State data, which is confidential, sensitive, or personal to be encrypted and password protected when stored in portable computing devices and portable electronic storage media.

In order to comply with applicable security and confidentiality requirements, the Chief Information Security Officer will approve the Department's mandatory security requirements for all portable computing and portable electronic storage media.

Prior to storing confidential, sensitive, or personal data on portable computing and portable electronic storage media, the Department's mandatory security requirements must be met.

DEFINITION/BACKGROUND

The Department of Finance Budget Letter 05-32, dated November 14, 2005, requires the encryption of State data that is confidential, sensitive, or personal when stored on portable computing devices and/or portable electronic storage media. This budget letter announces new policy codified in the State Administrative Manual (SAM) at sections 4841.2 through 4841.7.

SAM section 4841.3 defines the information classifications that must be given protection. Confidential, sensitive, or personal data includes, but is not limited to, the combination of a first name or first initial and last name in combination with at least one of the following: 1) social security number, 2) driver's license number or California identification card number, 3) account number, credit or debit card number, in combination with any required security code, access code, or password. Personal information includes health information.

Theft or loss of portable computing devices and/or portable electronic storage media compromises confidential, sensitive, or personal State data, which in turn can lead to privacy violations and costly follow-up activities. California Civil Code section 1798.29 requires that State departments disclose breaches in which electronically stored unencrypted personal information may have been acquired. SAM section 4845(2) addresses the Department's responsibilities under these circumstances.

This Deputy Directive is designed to protect the State data stored on all portable computing devices or portable electronic storage media, including equipment owned by employees, vendors, contractors, volunteers, or researchers. This policy applies to any portable computing or portable electronic storage media that contains Department data or connects to the Department's network.

RESPONSIBILITIES

Director:

- Approves Information Technology (IT) policies.
- Approves Information Security policies.
- Sign and submit Security Incident Report pursuant to SAM section 4845(2)(b).

Chief Information Officer:

- Develops IT security standards, procedures and guidelines.
- Implements Information Security standards, procedures, and guidelines.

Chief Information Security Officer:

- Develops Information Security policies.
- Approves IT security standards, procedures and guidelines.
- Signs and submits Security Incident Report pursuant to SAM section 4845(2)(b).

Deputy Directors, District Directors, Division Chiefs, Program Managers, Office Chiefs, Managers, and Supervisors:

- Ensure staff adheres to Information Security policies.
- Ensure staff adheres to IT security standards, procedures, and guidelines.
- Immediately report loss or theft of portable computing or portable electronic storage media or access to confidential, sensitive, or personal data to the Department's Chief Information Security Office at (916) 651-8483 or e-mailed to CTISO@dot.ca.gov.

Employees, contractors, volunteers, and all other users of State data that is confidential, sensitive, or personal:

- Adhere to IT security standards, procedures, and guidelines, including the Department's Information Security standards, procedures, and guidelines.
- Immediately report loss or theft of portable computing or portable electronic storage media or access to confidential, sensitive, or personal data to the employee's supervisor.

APPLICABILITY

All departmental employees, contractors, volunteers, and all other users of State data that is confidential, sensitive, or personal.



RANDELL H. IWASAKI
Chief Deputy Director



Date Signed

Deputy Directive

<i>Number:</i>	DD-108
<i>Refer to Director's Policy:</i>	DP-02-R2 Ethics DP-10 Department Commitments
<i>Effective Date:</i>	06-30-10
<i>Supersedes:</i>	NEW

<i>TITLE</i>	Timely Submission and Approval of Timesheets
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POLICY

The California Department of Transportation (Department) requires all employees to submit timely and accurate timesheets in the Online Time Reporting System. Timesheets must be submitted to Supervisors weekly at the close of business Friday or on the last day scheduled to work in the week. The reporting of personal services is essential in meeting project management and budgeting goals. The Department is committed to maintaining timely, accurate, and complete information at every level. This directive supports the Department's mission and commitment to effectively manage and account for its resources. Violations of this policy may result in disciplinary action.

BACKGROUND

Authority: The State Administrative Manual (SAM) Chapter 8500, Section 8539 requires that, "Agencies maintain complete records of attendance and absences for each employee during each pay period. These records will be properly certified." Staff Central was approved by the Department of Information Technology (Office of Technology Services) and the Department of Finance as the method by which the Department would complete and maintain these attendance records. Submission of timesheets by all employees will ensure that the Department is in compliance with SAM requirements.

Staff Central transmits information on hours worked, activities and projects charged, and leave usage to accounting and personnel systems. Timely submittal and approval ensures the following:

- Accurate leave balances on payroll warrants;
- Prompt delivery of supplemental pay (pay differentials, overtime, premium pay);
- Prompt delivery of intermittent pay;
- Accurate pay recording (pay docks); and
- Accurate expenditure projections.

The Department's commitment to accurately account for resources should be adapted by all levels of employees throughout the Department. Unsubmitted and/or unapproved timesheets result in uncaptured labor expenditures and inaccurate leave balances and pay. Additionally, personal services' expenditures are not reflected accurately when timesheets are submitted late. This results in a negative overall program allocation balance.

RESPONSIBILITIES

Deputy Directors, District Directors, Chief/Deputy District Directors, Division Chiefs:

- Ensure that all employees submit timesheets in a timely manner as noted below.

Managers and Supervisors:

- Ensure that all timesheets are reviewed and approved no later than Tuesday of the week following the week the time was worked.
- Delegate an alternate to approve timesheets in their absence.
- Utilize the Unrecorded Labor Expenditure Report (ULER) within Staff Central to monitor ongoing timesheet status.
- Ensure that timesheets of employees who are out on extended absences are submitted and approved.
- Request a ULER, by division, from their Staff Central Liaison, if needed. A list of Staff Central Liaisons may be found at:
<http://staffcentral.dot.ca.gov/contact/search.shtml>

Note: Regional Maintenance employees' time is reported via the Integrated Maintenance Management System (IMMS) which is transmitted to Staff Central.

Staff Central Liaisons:

- Monitor the ULER weekly.

Employees:

- Submit a complete and accurate weekly timesheet to their supervisor for approval by the last working day of each calendar week, including any leave time used in the week.
- Report future leave by the last day worked prior to leaving on vacation.
- Submit time sheets from the last day physically worked through the actual date of retirement, if running out annual leave or vacation prior to retirement. (*Note: The exception to this is if the actual date of retirement is in the next fiscal year. Any leave used after the fiscal year must be reported on a paper timesheet from the first day of the new fiscal year (July 1) through the date of retirement.*)
- Make arrangements with supervisor to submit timesheets in the event of an extended absence.

- Immediately make corrections, as needed, and promptly submit the corrected timesheet.

APPLICABILITY:

All Department employees, including civil service, temporary, emergency, limited-term, seasonal, exempt, special employment, retired annuitants, and civil service student assistants, paid through the State Controller's Office payroll system.


MALCOLM DOUGHERTY
Interim Chief Deputy Director

6/30/10
Date Signed

Deputy Directive

Number:	DD-110-R1
Refer to Director's Policy:	DP-02-R2 Ethics
Deputy Directive:	DD-09-R3 Incompatible Activities and Conflict of Interest DD-56-R3 Use of Overtime DD-108 Timely Submission and Approval of Timesheets
Effective Date:	8/4/14
Supersedes:	DD-110 (5-5-2014)
Responsible Program:	Administration

TITLE Secondary Employment Outside of the California Department of Transportation

POLICY

California Department of Transportation (Caltrans) employees may not engage in outside employment or any other outside activity that conflicts with the employee's official duties or that would violate a law or regulation. When there may be a conflict with the employee's official duties, the employee will be required to obtain approval from their supervisor or manager before engaging in those specific outside activities. Employees may not use state resources to engage in activities associated with outside employment. Employees must devote their full time and attention to their state duties during their normal work schedule. Employees shall avoid actions that create the appearance of impropriety.

DEFINITION

Outside Income and Employment includes, but is not limited to:

- Working as an employee for any employer, including another state agency.
- Owning a business.
- Contracting to provide services for a fee.
- Serving as a consultant for a fee or being self-employed.
- Holding any elected or appointed public office, whether federal, state, or local.

- Operating a fund-raising business, formal or informal, in the workplace, including vending services and regardless of purpose.

Employees are all persons who work for Caltrans including civil service, temporary, emergency, limited-term, seasonal, exempt, retired annuitant, special employment, and contract employees.

State resources include, but are not limited to, vehicles, supplies, property, equipment, state-compensated time, funds, travel and facilities.

BACKGROUND

The intent of this policy is to ensure that an employee's outside employment does not have an adverse affect on the employee's employment with Caltrans, is compliant with applicable laws, policies and regulations, and does not create a conflict of interest.

Conflict of Interest is a situation in which any official action taken by an employee is, may be, or appears to be influenced by considerations of personal financial gain rather than the general public good. This includes using the prestige or influence of the state for private gain, and receiving compensation or other considerations from anyone other than the state for performance of state duties. (Political Reform Act of 1974, as amended. California Government Code sections 1126 and 19990.)

Employees of Caltrans may not use state resources, including, but not limited to, vehicles, supplies, property, equipment, state-compensated time (not including leave time,) funds, travel and facilities, for personal purposes or gain, or other purposes not authorized by law; employees may not use state resources to perform functions of outside employment. (California Government Code sections 1126, 8314 and 19990.)

Employees of Caltrans may not engage in employment or activities that are inconsistent, incompatible, in conflict with, or inimical to his or her duties as a state employee. (California Government Code sections 1126 and 19990.)

Employees of Caltrans may not engage in outside employment activities that could require the inspection, review, audit or control by that same employee in his or her capacity as an employee of Caltrans. (California Government Code sections 1126 and 19990.)

Employees of Caltrans may not engage in any employment, activity, or enterprise from which the employee receives compensation or in which the employee has a financial interest and which is sponsored or funded by any state agency or department through a state contract. (Public Contract Code section 10410.)

Employees must submit a complete and accurate weekly timesheet to their supervisor for approval, including any leave time used in the week. (California Code of Regulations, Title 2, section 599.665.)

Post employment activities of former state officials and employees are restricted under one-year bans. Banned activities include acting as an agent against Caltrans in governmental proceedings, and certain contract, sales, permit, license and communication activities. Some activities are permanently banned, such as representing a party other than the State of California in legal proceedings against the State of California when the individual previously participated in the proceedings in his/her official capacity as an employee or officer of the State of California. (California Government Code sections 87406, 87406.1, and 87406.3.)

Employees of Caltrans may only accept concurrent appointments in California State Civil Service with appropriate approvals from the Caltrans Division of Human Resources. Managers and supervisors shall not be appointed to concurrent positions. The intent of a concurrent appointment must not be to circumvent overtime restrictions or the full-time appointment process. (California Department of Human Resources (CalHR) Memorandum 2013-007, "Additional Appointments," and 2013-15, "Additional Appointments for Managers and Supervisors," CalHR's Personnel Management Policy and Procedures Manual section 350, "Additional Appointments".)

Since all employees must refrain from engaging in employment activities that interfere with his or her work assignment or satisfactory performance of Caltrans duties, while an employee is on sick leave or a medical leave of absence, supervisors or managers may require written assurance from an appropriate medical authority stating the secondary employment activity will not aggravate the injury nor prolong the employee's recovery and ability to return to his or her Caltrans job without limitations or restrictions.

Caltrans employees exempt from Fair Labor Standards Act (FLSA) must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.

Caltrans employees are prohibited from the following types of secondary employment activities. Caltrans employees shall not participate directly or indirectly as a principal, agent or employee in any of the businesses or secondary employment activities identified below:

- Engaging in the private practice of law for the purpose of representing Department employee(s) before state administrative tribunals or bodies or departmental administrative inquiries.

- Engaging in private Real Estate activities as a broker, salesperson, appraiser, or investor when dealing with properties which are subject to, or might reasonably be considered as affected by, the real estate functions of the Department. Also prohibited would be speculating in real estate using knowledge of programs or projects to the Department.
- Contracting on your own behalf with a State agency as an independent contractor.
- Any other type of work that would be in conflict with or have an adverse impact on your ability to complete the duties to which you are assigned as a Caltrans employee.

Employees should also refer to DD-09, Incompatible Activities and Conflict of Interest for further relevant information.

RESPONSIBILITIES

Deputy Director, Administration:

- Sets policy for Outside Employment and ensures broad compliance statewide.

Chief, Division of Human Resources:

- Ensures appropriate CalHR approvals, if necessary, are obtained prior to appointing employees to concurrent civil service positions.

Chief, Division of Safety and Management Services:

- Ensures this policy does not conflict with applicable bargaining unit Memoranda of Understanding (MOU) provisions.

Chief, Office of Enterprise Risk Management:

- Ensures that Conflict of Interest, Ethics, and Risk Management policies, processes and communications reflect Caltrans policies for Outside Employment.

Managers and Supervisors:

- Ensure that their subordinate employees are informed of and comply with Caltrans policy and federal and state laws, regulations, and policies regarding outside employment, ethics, conflict of interest, and incompatible activities.
- Caltrans employees exempt from FLSA must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.

- Consult with the Office of Enterprise Risk Management when employees notify them of any actual or potential conflict of interest related to outside employment activities as soon as possible.
- Initiate prompt investigatory, corrective and/or disciplinary actions for violations of the policy.
- Consult with and acquire appropriate approvals from the Division of Human Resources before offering additional appointments to current civil service employees.
- Ensure appropriate time reporting.

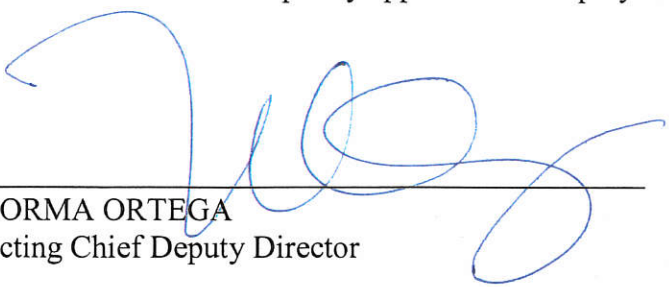
Employees:

- Use state resources, information, and positions only for the work of Caltrans and not for private gain, or other personal use.
- Caltrans employees exempt from FLSA must maintain a minimum average of 40 hours per work week. An employee's secondary employment cannot interfere with the employee's ability to conduct their Caltrans duties.
- Notify manager/supervisor of any actual or potential conflict of interest related to outside employment activities as soon as possible.
- Engage in concurrent employment only outside of their normal work schedule, or request permission in advance to use leave credits to cover time spent away from scheduled Caltrans work functions.
- Refrain from undertaking any employment or service which might reasonably be expected to impair objectivity and independence of judgment in the exercise of official duties.
- Refrain from engaging in any business, transaction, or professional activity that is in substantial conflict with the proper discharge of duties in the public interest.
- Refrain from using state resources, including but not limited to, vehicles, supplies, property, equipment, state-compensated time, funds, travel and facilities for private gain, or other personal use.
- Refrain from engaging in employment activities that interfere with his or her work assignment or satisfactory performance of Caltrans duties.
- Obtain prior approval for leave time.
- Submit a complete and accurate weekly timesheet to their supervisor for approval by the last working day of each calendar week, including any leave time used in the week.
- Disclose (if in a designated conflict of interest position) secondary employment income on Fair Political Practices Commission Form 700, Statement of Economic Interest.

- Comply with restrictions on post employment activities in accordance with the Political Reform Act of 1974, as amended.
- Employees who violate this policy are subject to disciplinary action, ranging from formal written reprimand to termination.

APPLICABILITY

This policy applies to all employees.



NORMA ORTEGA
Acting Chief Deputy Director

8/4/2014

Date Signed

Deputy Directive

Number: DD-112

Refer to
Director's Policy: DP-02-R2, Ethics
DP-14, Quality in Caltrans
DP-25, Best Practices
DD-09-R3, Incompatible
Activities & Conflict of
Interest

Effective Date: March 13, 2014

Supersedes: NEW

Responsible
Program: Administration

TITLE Contract Manager Responsibilities

POLICY

The California Department of Transportation (Caltrans) ensures delivery of quality transportation products and services by administering contracts in the most thorough, effective, and ethical manner. Contract Managers are required to abide by the highest professional and ethical standards when administering a contract and monitoring, evaluating, documenting, and reporting the contractor's performance to ensure compliance with all contract provisions. Contract Managers ensure the efficient use of public funds to produce the maximum value for taxpayers.

DEFINITION/BACKGROUND

A Contract Manager is an authorized representative of the State of California responsible for administering a contract and monitoring the contractor's performance. Pursuant to Public Contract Code section 10348.5, every Contract Manager shall have knowledge of legal contractual arrangements. Specific responsibilities of a Contract Manager can be found in the State Contracting Manual Volume 1, section 9.04.

RESPONSIBILITIES

Deputy Directors, District Directors, Division Chiefs:

- Provide leadership to implement sound contract management practices.
- Provide clear direction and guidance on a Contract Manager's roles and responsibilities.
- Ensure Contract Managers and appropriate staff complete mandatory annual Contract Manager training and the required Ethics training.
- Ensure resources are available for staff to be knowledgeable and trained in sound contract management practices.

Assistant Director, Audits and Investigations:

- Performs audits of Caltrans contract management practices to ensure compliance with state and departmental policies and procedures.

Chief, Division of Procurement and Contracts:

- Develops and maintains mandatory annual Contract Manager training.
- Provides advisory and training services to managers, supervisors, Contract Managers, resource managers, and employees.
- Ensures mandatory annual contract manager training conforms to the State Contracting Manual and the Public Contract Code.
- Ensures departmental compliance with applicable policies and procedures.
- Develops, reviews, implements, and distributes policies and procedures that affect the roles and responsibilities of a Contract Manager.
- Provides consultation to Contract Managers when issues arise relating to contract performance.

Chief, Division of Accounting:

- Provides guidance for correct coding and proper charging practices.
- Provides advisory and training services on accounting procedures.
- Provides guidance and reporting for prompt processing of vendor invoices.

Managers and Supervisors:

- Ensure mandatory annual Contract Manager training and resources are available to Contract Managers and appropriate staff.
- Ensure employees identified as Contract Managers complete mandatory annual Contract Manager training, the required Ethics training, and carry out their roles and responsibilities.
- Ensure Contract Managers review policies and procedures that affect their roles and responsibilities.
- Ensure Contract Management practices are being administered, and conduct periodic evaluations.
- Provide consultation to Contract Managers when issues arise relating to contract performance.
- Provide assistance to resolve significant and sensitive contract issues.

Contract Managers:

- Complete mandatory annual Contract Manager training and the required Ethics training.
- Adhere to all contracting policies, procedures, and processes.
- Develop and writes clear, concise, detailed work to be performed.
- Clarify contract manager roles and responsibilities with supervisor and the Division of Procurement and Contracts (DPAC) as needed.
- Demonstrate the highest standards of personal and professional integrity in the performance of their duties.

- Monitor and maintain control of the contractor's progress and performance to ensure compliance with all contract provisions including, but not limited to, quality, schedule, scope, and appropriate compensation.
- Ensure appropriate personnel are notified of equipment purchases, if applicable, and ensure property is tagged and inventoried before approving cost reimbursement.
- Ensure there are sufficient funds to pay for all services rendered as required by contract, consistent with the contract terms and conditions.
- Identify and resolves disputes with contractor in a timely manner.
- Communicate significant or sensitive contractor problems, issues, conflicts, or changes with supervisors and DPAC.
- Approve or dispute invoices for payment in a timely manner to avoid penalties under the California Prompt Payment Act.
- Verify the contractor has fulfilled contractual obligations as itemized on the invoice before approving invoice payments.
- Evaluate contractor's performance and services provided and complete the Contractor Evaluation form if applicable.
- Maintain records and logs for contract file documentation.

APPLICABILITY

All Caltrans employees.



RICHARD D. LAND
Chief Deputy Director

3/13/2014

Date Signed